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**Chapter 29: Inspector General Records**

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**General****A290001a Correspondence Files**

**Description:** a. Inspection Correspondence (Foreign Service). Contains any and all correspondence including cables, memoranda, letters and other documentation bearing on specific inspections of overseas posts with the EXCEPTION of that having to do with COMPLIANCE matters.

**Disposition:** Retire to RSC when 4 years old. Destroy when 10 years old.

**DispAuthNo:** N1-59-88-19, item 1a

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**A290001b Correspondence Files**

**Description:** b. Inspection Correspondence (Departmental). Contains any and all correspondence including cables, memoranda, letters and other documentation bearing on specific inspections of Departmental offices with the EXCEPTION of that having to do with COMPLIANCE matters.

**Disposition:** Retire to RSC when 4 years old. Destroy when 10 years old.

**DispAuthNo:** N1-59-88-19, item 1b

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**A290001c Correspondence Files**

**Description:** c. General Correspondence. Contains any and all correspondence including cables, memoranda, letters and other documentation of a general nature arranged by subject with the EXCEPTION of matters having to do with COMPLIANCE.

**Disposition:** Retire to RSC when 4 years old. Destroy when 10 years old.

**DispAuthNo:** N1-59-88-19, item 1c

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**A290002a Inspection Reports and Compliance Files (Foreign Service)**

**Description:** Consists of reports prepared by the Office of Inspector with related memorandums and communications pertaining to the effectiveness of each installation, with recommendations for improvement; correspondence including cables, memoranda and miscellaneous documentation to and from particular offices involved comprising the record of compliance, as well as the work papers.

a. Master File of Reports.

**Disposition:** Permanent. Retire to RSC when 10 years old. Transfer to National Archives when 30 years old.

**DispAuthNo:** NC-59-76-5, item 2a

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**A290002b Inspection Reports and Compliance Files (Foreign Service)**

**Description:** Consists of reports prepared by the Office of Inspector with related memorandums and communications pertaining to the effectiveness of each installation, with recommendations for improvement; correspondence including cables, memoranda and miscellaneous documentation to and from particular offices involved comprising the record of compliance, as well as the work papers.

b. Compliance Files.

**Disposition:** Permanent. Retire to RSC when 4 years old. Transfer to WNRC when 10 years old. Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-59-88-19, item 3b

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**A290002c Inspection Reports and Compliance Files (Foreign Service)**

**Description:** Consists of reports prepared by the Office of Inspector with related memorandums and communications pertaining to the effectiveness of each installation, with recommendations for improvement; correspondence including cables, memoranda and miscellaneous documentation to and from particular offices involved comprising the record of compliance, as well as the work papers.

c. Working papers and log of individuals interviewed.

**Disposition:** Destroy when obsolete or no longer necessary for current operations, whichever is sooner.

**DispAuthNo:** NC-59-76-5, item 2c

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**A290002d Inspection Reports and Compliance Files (Foreign Service)**

**Description:** Consists of reports prepared by the Office of Inspector with related memorandums and communications pertaining to the effectiveness of each installation, with recommendations for improvement; correspondence including cables, memoranda and miscellaneous documentation to and from particular offices involved comprising the record of compliance, as well as the work papers.

d. Extra Copies of Reports.

**Disposition:** Destroy when 1 year old.

**DispAuthNo:** NC-59-76-5, item 2b

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**A290003a Inspection Reports and Compliance Files (Departmental)**

**Description:** Consists of reports prepared by the Office of Inspector General with related memoranda and communications pertaining to the effectiveness of each office with recommendations and miscellaneous documentation to and from particular offices involved comprising the record of compliance, as well as the work papers.

a. Master File of Reports.

**Disposition:** Permanent. Retire to RSC when 10 years old. Transfer to National Archives when 30 years old.

**DispAuthNo:** NC-59-76-5, item 2a

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**A290003b Inspection Reports and Compliance Files (Departmental)**

**Description:** Consists of reports prepared by the Office of Inspector General with related memoranda and communications pertaining to the effectiveness of each office with recommendations and miscellaneous documentation to and from particular offices involved comprising the record of compliance, as well as the work papers.

b. Compliance Files.

**Disposition:** Permanent. Retire to RSC when 4 years old. Transfer to WNRC when 10 years old. Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-59-88-19, item 3b

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**A290003c Inspection Reports and Compliance Files (Departmental)**

**Description:** Consists of reports prepared by the Office of Inspector General with related memoranda and communications pertaining to the effectiveness of each office with recommendations and miscellaneous documentation to and from particular offices involved comprising the record of compliance, as well as the work papers.

c. Working papers and log of individuals interviewed.

**Disposition:** Destroy when obsolete or no longer necessary for current operations, whichever is sooner.

**DispAuthNo:** NC-59-76-5, item 2c

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**A290003d Inspection Reports and Compliance Files (Departmental)**

**Description:** Consists of reports prepared by the Office of Inspector General with related memoranda and communications pertaining to the effectiveness of each office with recommendations and miscellaneous documentation to and from particular offices involved comprising the record of compliance, as well as the work papers.

d. Extra Copies of Reports.

**Disposition:** Destroy when 1 year old.

**DispAuthNo:** NC-59-76-5, item 2b

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**A290004 Efficiency Reports**

**Description:** Reports prepared on Foreign Service personnel by the Inspectors at the time they are inspecting posts and Departmental offices. Includes copies of reports, commendations, memorandums, and other communications pertaining to the efficiency of personnel.

**Disposition:** Destroy 6 months after separation of employee from service.

**DispAuthNo:** II-NN-3616, item 4

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**A290005 Personnel Records**

**Description:** Consists of copies of application forms, personnel history statements, and other documents pertaining to OIG personnel matters.

**Disposition:** Review annually and destroy superseded or obsolete documents, or destroy file relating to an employee within 1 year after separation or transfer.

**DispAuthNo:** GRS 1, item 18a

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**A290006 Equipment and Supply Control File**

**Description:** Consists of requests for supplies, equipment or services.

**Disposition:** Destroy when 2 years old, or when no longer needed, whichever is sooner.

**DispAuthNo:** GRS 23, item 1

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**A290007 Conduct of Relations (COR) Inspection Working Papers**

**Description:** Consists of working papers concerning policy issues and management, political and economic functions and performance rating system; audit working papers pertaining to Conduct of Relations Inspections, including papers supporting work performed in administrative and consular functions, recreation associations and commissaries, binational commissions and overseas schools (grant portion only). Includes inspector's background notes, memorandums, budget and fiscal information, papers on compliance or corrective action taken, and other related documentation.

**Disposition:** Retire to RSC when 6 months old, and to WNRC when 2 years old. Destroy 6 years after issuance of report.

**DispAuthNo:** NC1-59-77-2, item 1

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**A290008 Domestic Inspection Working Papers**

**Description:** Includes all supporting working papers and background papers related to the function or office being inspected. This includes substantive as well as financial, resource management and compliance supporting working papers; relevant memos of conversation, analyses, budget data, expenditures and conclusions, and any other data which supports work performed and findings, conclusions and recommendations of the final report.

**Disposition:** Retire to RSC when 6 months old, and to WNRC when 2 years old. Destroy 6 years after issuance of report.

**DispAuthNo:** NC1-59-77-2, item 2

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**A290009a Audit Reports and Compliance Files**

**Description:** Consists of reports prepared by the Office of the Inspector General with related memoranda and communications pertaining to the audits of each installation or function, with recommendations for improvement, correspondence including cables, memorandums and miscellaneous documentation to and from particular offices involved comprising of compliance, as well as the work sheets.

a. Master File of Reports.

**Disposition:** Permanent. Retire to RSC when 10 years old. Transfer to WNRC when 20 years. Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-59-88-19, item 4a

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**A290009b Audit Reports and Compliance Files**

**Description:** Consists of reports prepared by the Office of the Inspector General with related memoranda and communications pertaining to the audits of each installation or function, with recommendations for improvement, correspondence including cables, memorandums and miscellaneous documentation to and from particular offices involved comprising of compliance, as well as the work sheets.

b. Compliance Files.

**Disposition:** Permanent. Retire to RSC when 4 years old. Transfer to WNRC when 10 years old. Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-59-88-19, item 4b

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**A290009c Audit Reports and Compliance Files**

**Description:** Consists of reports prepared by the Office of the Inspector General with related memoranda and communications pertaining to the audits of each installation or function, with recommendations for improvement, correspondence including cables, memorandums and miscellaneous documentation to and from particular offices involved comprising of compliance, as well as the work sheets.

c. Extra Copies of Reports.

**Disposition:** Destroy when 3 years old.

**DispAuthNo:** N1-59-88-19, item 4c

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**A290009d Audit Reports and Compliance Files**

**Description:** d. Audit Working Papers. Consist of working papers supporting audits of Department functions, installations and activities. Includes documentation evidencing all work performed, analyses and conclusions.

**Disposition:** Retire to RSC when 6 months old, and to WNRC when 2 years old. Destroy 6 years after issuance of report.

**DispAuthNo:** NC1-59-77-2, item 2

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**A290010a Investigative Reports and Files**

**Description:** Consists of Reports of Investigation; compliant file allegations to include hotline reports; and correspondence pertaining to OIG investigations. Files also contain final case disposition data to include a record of criminal and administrative actions resulting from investigations.

- a. Files containing information or allegations which are of an investigative nature but do not related to specific investigations.

**Disposition:** Destroy when 5 years old.

**DispAuthNo:** N1-59-88-19, item 5a

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**A290010b Investigative Reports and Files**

**Description:** Consists of Reports of Investigation; compliant file allegations to include hotline reports; and correspondence pertaining to OIG investigations. Files also contain final case disposition data to include a record of criminal and administrative actions resulting from investigations.

- b. All other investigation case files.

**Disposition:** Cut off inactive files at end of calendar year. Destroy when 10 years old.

**DispAuthNo:** N1-59-88-19, item 5b

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**A290011 Working Papers on Special Malfeasance and Fiscal Irregularity Audits and Inspections**

**Description:** Includes all working papers supporting work performed, analyses and conclusions.

**Disposition:** Destroy when case is resolved and any legal action completed.

**DispAuthNo:** NC1-59-77-2, item 4

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**A290012a Case Files on Waste, Fraud and Mismanagement Allegations - Consists of documentation of allegations of waste, fraud and mismanagement reported for inspection to the Office of the Inspector General**

**Description:** a. Files on cases which cannot be substantiated after preliminary investigation.

**Disposition:** Close case immediately, and place in inactive file. Retain in office for 1 year, then retire to RSC. Destroy 2 years after case becomes inactive.

**DispAuthNo:** NC1-59-82-13, item 1a

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**A290012b Case Files on Waste, Fraud and Mismanagement Allegations - Consist of documentation of allegations of waste, fraud and mismanagement reported for inspection to the Office of the Inspector General**

**Description:** b. Files on cases which are referred to the Office of the Director General or other Departmental offices for administrative action.

**Disposition:** Place in inactive file upon written notification of Director General or other Department of State office review and decision. Retain in office for 1 year, then retire to RSC. Destroy 7 years after case becomes inactive.

**DispAuthNo:** N1-59-88-19, item 6b

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**A290012c Case Files on Waste, Fraud and Mismanagement Allegations - Consist of documentation of allegations of waste, fraud and mismanagement reported for inspection to the Office of the Inspector General**

**Description:** c. Files on cases which are referred to the Department of Justice or the Attorney General.

**Disposition:** Place in inactive file when prosecution has been completed. Retain in office for 1 year, then retire to RSC. Destroy 4 years after case becomes inactive.

**DispAuthNo:** NC1-59-82-13, item 1c

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**A290012d Case Files on Waste, Fraud and Mismanagement Allegations - Consist of documentation of allegations of waste, fraud and mismanagement reported for inspection to the Office of the Inspector General**

**Description:** d. Correspondence containing allegations not meriting investigation.

**Disposition:** Place in inactive file and retain in office for 1 year, then retire to RSC. Destroy 2 years after placed in inactive file.

**DispAuthNo:** NC1-59-82-13, item 1d

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**A290012e Case Files on Waste, Fraud and Mismanagement Allegations - Consist of documentation of allegations of waste, fraud and mismanagement reported for inspection to the Office of the Inspector General**

**Description:** e. Correspondence containing allegations which merit investigation and are referred to Audit/Inspection Teams.

**Disposition:** Place in inactive file when investigation has been completed. Retain in office for 1 year, then retire to RSC. Destroy 4 years after case becomes inactive.

**DispAuthNo:** NC1-59-82-13, item 1e

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**A290012f Case Files on Waste, Fraud and Mismanagement Allegations - Consist of documentation of allegations of waste, fraud and mismanagement reported for inspection to the Office of the Inspector General**

**Description:** f. Allegation Logs/Case Control Sheets.

**Disposition:** Destroy in office when no longer needed for reference.

**DispAuthNo:** NC1-59-82-13, item 2

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**A290013a Special Reports and Inquiry Files**

**Description:** Consists of reports and correspondence pertaining to special inspections -- those precipitated by an event, incident, inspections, etc. Included also is the record of compliance as well as documentation relating to follow-up review of these special reports.

a. Master File of Reports.

**Disposition:** Permanent. Retire to RSC when 10 years old. Transfer to WNRC when 20 years old. Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-59-88-28, item 1a

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**A290013b Special Reports and Inquiry Files**

**Description:** Consists of reports and correspondence pertaining to special inspections -- those precipitated by an event, incident, inspections, etc. Included also is the record of compliance as well as documentation relating to follow-up review of these special reports.

b. Compliance Files.

**Disposition:** Permanent. Retire to RSC when 4 years old. Transfer to WNRC when 20 years old. Transfer to the National Archives when 30 years old.

**DispAuthNo:** N1-59-88-28, item 1b

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**A290013c Special Reports and Inquiry Files**

**Description:** Consists of reports and correspondence pertaining to special inspections -- those precipitated by an event, incident, inspections, etc. Included also is the record of compliance as well as documentation relating to follow-up review of these special reports.

c. Copies of Reports.

**Disposition:** Destroy when 1 year old.

**DispAuthNo:** N1-59-88-28, item 1c

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